

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Schopp**§ Group Art Unit: **Unknown**

Serial No.: \_\_\_\_\_

§

§ Examiner: **Unknown**

Filed: \_\_\_\_\_

§

§ Attorney Docket No.: **AUS920030450US1**For: **Method and system for autonomically  
adaptive mutexes**

§

§

§

§

§

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97

Applicants request that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. 1.97.

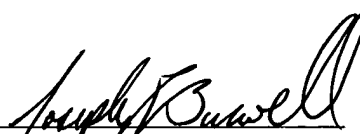
This Information Disclosure Statement is being filed under 37 C.F.R. § 1.97(b) within three months of the filing date of the application, or before the mailing date of a first office action on the merits. No fee or certification is required.

In accordance with 37 C.F.R. 1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. 1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standards of materiality defined in 37 C.F.R. 1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. 1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. 1.56(a) exists.

Date: September 23, 2003

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Joseph R. Burwell", is written over a horizontal line.

Joseph R. Burwell  
Reg. No. 44,468  
ATTORNEY FOR APPLICANT

Law Office of Joseph R. Burwell  
P.O. Box 28022  
Austin, Texas 78755-8022  
voice: (866) 728-3688 (866-PATENT8)  
fax: (866) 728-3680 (866-PATENT0)  
email: [joe@burwell.biz](mailto:joe@burwell.biz)

## U.S. DEPT. OF COMMERCE PATENT AND TRADEMARK OFFICE

<b>Form PTO-1449</b> <b>LIST OF PRIOR ART CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>			ATTORNEY DOCKET NO. <b>AUS920030450US1</b>		SERIAL NO.	
			APPLICANT <b>Schopp</b>			
			FILING DATE		GROUP ART UNIT	

U.S. PATENT DOCUMENTS					
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	INVENTOR NAME	CLASS/ SUBCLASS	FILING DATE
	5,644,768	07/01/1997	Periwal et al.	395/672	
	5,768,544	06/16/1998	Hauck	395/298	
	5,794,073	08/11/1998	Ramakrishnan et al.	395/860	
	5,933,825	08/03/1999	McClaghry et al.	707/8	
	6,026,427	02/15/2000	Nishihara et al.	709/106	
	6,029,190	02/22/2000	Oliver	709/107	
	6,105,098	08/15/2000	Ninose et al.	710/200	
	6,112,222	08/29/2000	Govindaraju et al.	709/102	

FOREIGN PATENT DOCUMENTS					
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES NO

OTHER PRIOR ART <i>(including author, title, date, pertinent page, etc.)</i>	
	"Optimized List Insertion for Lock Waiters", #42089, <i>Research Disclosure</i> , p. 529, April 1999.
	"Method to Invoke Function Calls With Time-Out Option", <i>IBM Technical Disclosure Bulletin</i> , v. 39, n. 6, pp. 241-242, June 1996.
	Mauro, "Turnstiles and priority inheritance", <i>SunWorld</i> , <a href="http://sunsite.uakom.sk/sunworldonline/swol-08-1999/swol-08-insidesolaris.html">http://sunsite.uakom.sk/sunworldonline/swol-08-1999/swol-08-insidesolaris.html</a> , August 1999.
	Boguslavsky et al., "Optimal Strategies for Spinning and Blocking", <i>Journal of Parallel and Distributed Computing</i> , v. 21, n. 2, pp. 246-254, May 1994.
	Karlin et al., "Empirical Studies of Competitive Spinning for a Shared-Memory Multiprocessor", <i>Proceedings of the 13th ACM Symposium on Operating Systems Principles</i> , pp. 41-55, Oct. 1991.

DATE CONSIDERED	EXAMINER
-----------------	----------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

## U.S. DEPT. OF COMMERCE PATENT AND TRADEMARK OFFICE

<b>Form PTO-1449</b> <b>LIST OF PRIOR ART CITED BY APPLICANT</b> <i>(Use several sheets if necessary)</i>			ATTORNEY DOCKET NO. <b>AUS920030450US1</b>		SERIAL NO.	
			APPLICANT <b>Schopp</b>			
			FILING DATE		GROUP ART UNIT	

U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	INVENTOR NAME	CLASS/SUBCLASS	FILING DATE	
	US 6,199,094 B1	03/06/2001	Presler-Marshall	709/104		
	US 6,219,690 B1	04/17/2001	Slingwine et al.	709/102		
	US 6,223,204 B1	04/24/2001	Tucker	709/103		
	US 6,247,025 B1	06/12/2001	Bacon	707/206		
	US 6,374,285 B1	04/16/2002	Scales et al.	709/104		
	US 2002/0107854A1	08/08/2002	Hua et al.	707/8		
	US 6,477,597 B1	11/05/2002	Sorace et al.	710/200		
	US 6,480,918 B1	11/12/2002	McKenney et al.	710/200		

FOREIGN PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	COUNTRY	CLASS/SUBCLASS	TRANSLATION YES NO	

OTHER PRIOR ART <i>(including author, title, date, pertinent page, etc.)</i>		

DATE CONSIDERED	EXAMINER
-----------------	----------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.